



**CRIMINAL JUSTICE PROGRAMS DIVISION  
GOVERNOR'S OFFICE OF EMERGENCY SERVICES**

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May 11, 2004

TO: **CURRENT GANG VIOLENCE SUPPRESSION MULTI-COMPONENT  
PROGRAM PROJECT DIRECTORS**

SUBJECT: **REQUEST FOR APPLICATION (RFA)**

The Governor's Office of Emergency Services, Criminal Justice Programs Division (CJPD) is pleased to announce the release of the Gang Violence Suppression Multi-Component (GVS) Program Request for Applications (RFA). Enclosed is the GVS application package to be used when submitting the application for Fiscal Year (FY) 2004/05 grant award funds.

The total program funding level for the GVS Program for FY 2004/05 is anticipated to be \$2,955,000. The projects funded in FY 2003/04 are the **only** projects eligible to apply for continuation funding. Specific funding amounts are provided in the RFA. The funding cycle for this program will be a 12-month cycle beginning July 1, 2004 and ending on June 30, 2005. Note that continuation funding is contingent on passage of the State Budget Act, successful project performance, and compliance with the grant award agreement.

To be considered for continuation funding for FY 2004/05, applicants must complete the enclosed materials and submit them no later than 5:00 p.m. on **Wednesday, June 9, 2004**.

If you have any questions regarding this application, please contact Program Specialist Tina Farales at 916-324-9926, or via e-mail at [Tina.Farales@oes.ca.gov](mailto:Tina.Farales@oes.ca.gov), or Program Specialist Terri Roy at 916-322-9228, or via e-mail at [Theresa.Roy@oes.ca.gov](mailto:Theresa.Roy@oes.ca.gov).

Sincerely,

GINA BUCCIERI-HARRINGTON, Chief  
Gang Violence and Counter Drug Procurement Section

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION  
MULTI-COMPONENT PROGRAM**

**REQUEST FOR APPLICATION**



**May 2004**

**GOVERNOR’S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM  
REQUEST FOR APPLICATION**

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM  
REQUEST FOR APPLICATION**

**PART I – INFORMATION**

**A. INTRODUCTION**

This Request for Application (RFA) provides all of the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede all previous RFAs and any conflicting provisions stated in the *Grantee Handbook*. However, the *Grantee Handbook* provides helpful information you may wish to consult while developing your application. A copy can be obtained from website, [www.oes.ca.gov](http://www.oes.ca.gov). Applicant can select "Plans and Publications, RFA/RFP Grantee Handbook" to access the *Grantee Handbook*.

**B. CONTACT INFORMATION**

**Tina Farales**

TEL: (916) 324-9226

FAX: (916) 324-9179

[tina.farales@oes.ca.gov](mailto:tina.farales@oes.ca.gov)

**Terri Roy**

TEL: (916) 322-9228

FAX: (916) 324-9179

[theresa.roy@oes.ca.gov](mailto:theresa.roy@oes.ca.gov)

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the above contact persons by telephone, fax or e-mail.

**C. APPLICATION DUE DATE**

To submit an application, applicant must deliver the application to OES **by 5:00 p.m.** on the due date, or mail the application postmarked by the due date.

**The Due Date Is: June 9, 2004.**

Applicant must submit **one original and one copy** of the application to:

Governor's Office of Emergency Services  
Criminal Justice Programs Division  
P.O. Box 419047  
Rancho Cordova, CA 95741-9047  
Attn: GVS RFA – Gang Violence and Counter Drug Procurement Section

If sending application by **overnight delivery**, submit to:

Governor's Office of Emergency Services  
Criminal Justice Programs Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: GVS RFA – Gang Violence and Counter Drug Procurement Section

If the application will be **hand-delivered**, it should be delivered to the Governor's Office of Emergency Services at 1130 K Street, Suite 300, Sacramento. Please note the following: 1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. A Bank of America is located on the first floor of this building. Please note that K Street is a pedestrian mall. Indoor parking structures are located on the east side of 12th Street between K and L Streets (connected to the Hyatt Regency Hotel), and on 10th Street between K and L Streets. Street parking is limited and requires quarters for parking meters. Once you enter the building at 1130 K Street, take the elevator to the third floor and proceed straight down the hall to the Receptionist Office behind the double wooden doors labeled "State of California: Governor's Office of Emergency Services." The application will be date stamped and you may request a receipt.

#### **D. ELIGIBILITY**

Only currently funded GVS Multi-Component projects are eligible to apply for funding in State Fiscal Year (FY) 2004/05.

#### **E. FUNDING CYCLE AND DURATION**

It is anticipated that approximately \$2,955,000 will be available to fund the GVS Multi-Component Program for FY 2004/05.

The grant award period for the fourth year of funding will begin July 1, 2004, and end June 30, 2005. Agencies responding to this RFA must budget for twelve (12) months. Funding for the GVS Program will be split-funded with FY 2004/05 State General Funds totaling \$1,950,000 and the federal Edward Byrne Memorial Block Grant fund totaling \$1,005,000.

#### **MATCH REQUIREMENTS**

To maximize the use of available funds and to assist in the assurance of commitment of the applicants to the program objectives, applicants must provide local matching funds of 10 percent on the State General Fund allocation. See Table I below.

The match is calculated based on the percentage of funds allocated (please refer to the *Grantee Handbook*, Section 6550.2 regarding match calculations). This match may be either a **cash match** or an **in-kind match**. The budget pages must indicate which budget items are match items.

#### **PROJECT ALLOCATION**

The project allocations for State FY 2004/05 will be based on the prior year funding. See Table I below. All applicants must budget equitable amounts amongst the five components. The exception to this is the lead agency component, which is allowed to budget for an amount greater than the other components in order to cover the added administrative costs. The budget must be approved by the LCC.

Once the budget is authorized by OES, any future changes to the project budget must be submitted on a grant award modification for OES approval.

**TABLE I: FY 2004/05 GVS PROJECT FUNDING CHART**

	<b>FY 04/05 State Gen. Funds</b>	<b>FY04/05 Byrne Funds</b>	<b>10% Match (State Gen. Funds)</b>	<b>Total *</b>
Fullerton	\$205,355	\$105,856	\$20,535	\$331,746
Imperial	\$142,562	\$73,465	\$14,256	\$230,283
La Habra	\$164,402	\$84,686	\$16,440	\$265,528
Los Angeles	\$205,355	\$105,856	\$20,535	\$331,746
Napa	\$205,355	\$105,856	\$20,535	\$331,746
Oxnard	\$205,355	\$105,856	\$20,535	\$331,746
Richstone	\$205,355	\$105,856	\$20,535	\$331,746
Sacramento	\$246,504	\$127,027	\$24,650	\$398,181
San Buenaventura	\$205,355	\$105,856	\$20,535	\$331,746
Yolo	\$164,402	\$84,686	\$16,440	\$265,528
<b>TOTAL</b>	<b>\$1,950,000</b>	<b>\$1,005,000</b>	<b>\$194,996</b>	<b>\$3,149,996</b>

\*Please note that allocation of funds is contingent on the enactment of the State Budget and may be subject to change. In addition, should any of the eligible projects decline fourth year funding, the project funding levels may be adjusted.

## **F. PROGRAM INFORMATION**

The purpose of the GVS Program is to reduce the level of gang violence in communities and to divert potentially dangerous gang activity into a more positive and constructive behavior. The purpose of this multi-component model is to develop comprehensive, coordinated projects by a group of agencies focusing their efforts on specific target areas. The multi-component project must include at least one agency representing each of the five (5) components of the GVS Program: law enforcement, prosecution, probation, prevention (community-based organization), and education.

These five components are required to collaborate on this program. Each GVS multi-component funded project must establish/maintain an anti-gang Local Coordinating Committee, (LCC) and an Operational Coordinating Committee, (OCC) comprised of, at a minimum, representatives of all five-program components. An Operational Agreement (OA) must be included with the proposal. (See the Sample Operational Agreement Form in Part III of this RFA).

**Projects funded through the GVS Program are required to perform the activities mandated in Sections 13826.2 through 13826.65 of the Penal Code.**

### **1. Statutory Requirements**

#### **a. Individuals Subject to Gang Violence Prosecution**

An individual shall be subject to gang violence prosecution efforts who is under arrest for the commission or the attempted commission of any gang-related violent crime where the individual (1) is a known member of a gang; and (2) has exhibited a prior criminal background.



## **b. Scope of Gang Violence Prosecution**

Gang violence prosecution includes both criminal prosecutions and proceedings in Juvenile Court in which a petition has been filed pursuant to Section 602 of the California Welfare Institutions Code.

## **2. Participation on Committees**

### **a. Local Coordinating Committee**

All GVS projects must participate in an anti-gang Local Coordinating Committee (LCC). This LCC shall consist of executive level representation from the five components, as well as other interested agencies and organizations. The central organizing body (LCC), whose purpose is to formulate gang policy for gang affected areas, **will meet quarterly** to:

1. Identify local gang problems.
2. Formulate goals and activities that will meet the identified local gang problems.
3. Identify resources that can be used to assist community efforts in addressing identified gang problems.
4. Provide anti-gang strategies, information, resources and references to government and community agencies that are involved in anti-gang community efforts.
5. Evaluate and report progress and accomplishments on goals and objectives.

### **b. Operational Coordinating Committee**

Funded projects are also required to participate in the Operational Coordinating Committee (OCC). The OCC manages day-to-day operations and shall serve as a liaison to the LCC by providing policy recommendations. The OCC shall include representatives from the five components. The OCC **will meet monthly** to:

1. Identify local gang problems.
2. Identify factors in the community that may contribute to gang activity and violence.
3. Identify services/activities to promoting the prevention of gang activity
4. Identify resources that can be used to assist community efforts in addressing identified gang problems.
5. Discuss and make recommendations to the LCC for quarterly review.

## **G. PREPARING AN APPLICATION**

For clarity, the forms in Part III include an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

The following five components are required for a complete application:

- Application Cover Sheet,
- Grant Award Face Sheet (Form A301),
- The Project Narrative,
- The Budget Narrative and Project Budget (Forms A303a-c), and
- The Application Appendix.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM  
REQUEST FOR APPLICATION**

**PART II – INSTRUCTIONS**

The instructions in this section correspond to each of the application components, as well as to the forms provided in Part III.

Applicant must use the forms provided or computer-generated forms, and plain 8½" x 11" white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OES forms.

Application must be typed with characters no smaller than standard 12-pitch font. **Applicant must double-space all narrative sections of the application.**

Copies of the application must be assembled separately and individually fastened in the upper left corner. **Do not bind application.**

**A. THE PROJECT NARRATIVE**

The project narrative is the main body of information describing the problem to be addressed, the plan to address that problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

**1. Problem Statement**

Provide a **brief summary** of the problem statement for your GVS project. Include any updates or changes to the problem statement, if needed.

**2. Plan and Implementation**

Provide a **brief summary** of the program plan and implementation. Include any updates or changes to the plan and implementation, if needed.

**B. THE PROJECT BUDGET**

The purpose of the Project Budget is to demonstrate how the project will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicant should not include in the project budget matching funds (if applicable) in excess of the required match. All budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget that will enable them to meet the intent and requirements of the program, ensure the successful implementation of the project, and be cost-effective. Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project. The

applicant should refer to the *Grantee Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov). Applicant can select “Plans and Publications, RFA/RFP Grantee Handbook” for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page 1, subsection B. Contact this person if a hard copy of the *Grantee Handbook* is needed.

## 1. The Budget Narrative

Applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe the following:

- How the project’s proposed budget supports the stated objectives and activities in the project;
- How funds are allocated to minimize administrative costs and support direct services;
- The duties of project-funded staff, including any qualifications or education level necessary for the job assignment;
- How project-funded staff duties and time commitments support the proposed objectives and activities;
- Proposed staff commitment/percentage of time to other efforts, in addition to this project;
- The necessity for subcontracts and any unusual expenditures; and
- Mid-year salary range adjustments.

## 2. Specific Budget Categories

There is a separate form in the Forms Section (Part III) for each of the following three budget categories:

- Personal Services – Salaries/Employee Benefits,
- Operating Expenses, and
- Equipment.

Each budget category requires line item detail that addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

**a. Personal Services – Salaries/Employee Benefits (Form A303a):**

1) Salaries

Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other persons are to be shown as consultants in the Operating Expenses Category supported by a memorandum of understanding (MOU), contract, or operational agreement (OA), which must be kept on file by the grantee and made available for review during an OES site visit, monitoring visit, or audit. Furthermore, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category. In either case, they may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

2) Benefits

Employee benefits must be identified by type and percentage of salaries. Applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1½ clerical positions).

**b. Operating Expenses (Form A303b):**

Operating expenses are defined as necessary expenditures exclusive of personnel salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$1,000 per unit (including tax, installation, and freight) **and/or with a useful life of less than one year fall within this category.**

Note: Projects are not required to budget for an OES project manager training.

**c. Equipment (Form A303c):**

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$1,000 or more per unit (including tax, installation, and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

**C. THE APPLICATION APPENDIX**

The Application Appendix provides OES with additional information from the applicant to support components of the application. The following must be included:

- GVS Components Objectives and Activities: For each of the component's objectives/activities, a numeric projection or completion date is required. Please place the projected number in the space provided.

The "optional" objectives provide the applicant with the choice to perform additional activities that meet the objectives of this grant. However, once an "optional" objective has been included in the grant award agreement, it is required.

- Operational Agreements: OAs must be dated and contain original signatures, titles, and agency names for both parties. This document must demonstrate a formal system of networking and coordination with other agencies and the project. Those submitted with the application must be effective for the proposed grant year. For the purpose of this RFA, the terms OA and MOU are synonymous. A sample OA is provided in the Forms section of this RFA.
- Project Service Area Information,
- Project Contact Information,
- GVS Components Contact Information,
- Project Summary,
- Additional Signature Authorization (if needed), and
- Programmatic Purchase Justification (if needed).

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM  
REQUEST FOR APPLICATION**

**PART III – FORMS**

**CHECKLIST AND REQUIRED SEQUENCE**

This checklist is provided to assist the applicant in ensuring that a complete application is submitted to OES.

- ☐ APPLICATION COVER SHEET
  
- ☐ GRANT AWARD FACE SHEET – Signed by the official authorized to enter into Grant Award Agreement.
  
- ☐ CERTIFICATE OF ASSURANCE OF COMPLIANCE – See description under “Part IV: Additional Information, subsection B.2., Finalizing the Grant Award Agreement.”
  
- ☐ THE PROJECT NARRATIVE
  - Problem Statement
  - Plan and Implementation
  
- ☐ THE PROJECT BUDGET
  - The Budget Narrative
  - Budget Forms – Forms A303a, A303b, A303c, GVS Components Budget Summary
  
- ☐ THE APPLICATION APPENDIX
  - GVS Components Objectives and Activities
  - Operational Agreements
  - Project Service Area Information
  - Project Contact Information
  - GVS Components Contact Information
  - Project Summary
  - Additional Signature Authorization (if needed)
  - Programmatic Purchase Justification (if needed)



**CRIMINAL JUSTICE PROGRAMS DIVISION  
GOVERNOR'S OFFICE OF EMERGENCY SERVICES**

P.O. BOX 419047  
RANCHO CORDOVA, CA 95741-9047  
**(916) 324-9100**  
FAX: 327-5674



**APPLICATION COVER SHEET**

**RFA PROCESS**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM RFA**

**Deliver to Gang Violence and Counter Drug Procurement Section**

Submitted by:

(Place name, address, and phone number of applicant here.)

## GRANT AWARD FACE SHEET INSTRUCTIONS

1. **Administrative Agency**  
Enter the complete name of the unit of government applying for funding (e.g., Alameda County, City of Fresno), also referred to as the “grantee.”
2. **Implementing Agency**  
Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Sheriff, Police Department), and the contact person’s name, address, and phone number. Include an e-mail address, if you have one.
3. **Project Title**  
Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters, including spaces and punctuation.
4. **Project Director**  
Enter the name, title, mailing address, and telephone number of the individual ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer**  
Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. The reimbursement check for this project will be mailed to the address shown for the financial officer. This information must be limited to four lines.
6. **Award Number**  
Leave blank (to be completed by OES).
7. **Grant Period**  
Enter beginning and ending dates of funding as specified in the grant application instructions.
8. **Federal Amount**  
If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount**  
If applicable, enter the amount of state funds requested for the project. If not applicable, enter N/A.
10. **Cash Match**  
If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match**  
If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost**  
Enter the sum of items 8, 9, 10, and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee**  
Enter the signature, name, title, address, and telephone number of the official authorized to enter into the Grant Award Agreement for the city/county or community-based organization, as stated in the language between items 12 and 13 of the Grant Award Face Sheet (Form A301). **Provide an original signature of the authorized official in blue ink.**



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GRANT AWARD FACE SHEET (FORM A301)**

The Governor's Office of Emergency Services, hereafter designated OES, hereby makes a grant award of funds to the following

**Administrative Agency (1)** \_\_\_\_\_

hereafter designated Grantee, in the amount and for the purpose and duration set forth in this grant award.

**(2) Implementing Agency Name** \_\_\_\_\_

**Contact** \_\_\_\_\_ **Address** \_\_\_\_\_

**E-mail address** \_\_\_\_\_ **Telephone (     )** \_\_\_\_\_

<b>(3) Project Title</b> (60 characters maximum)	<b>(6) Award No.</b>
<b>(4) Project Director</b> (Name, Title, Address, Telephone, E-mail) (five lines maximum)	<b>(7) Grant Period</b>
	<b>(8) Federal Amount</b>
	<b>(9) State Amount</b>
<b>(5) Financial Officer</b> (Name, Title, Address, Telephone, E-mail) (five lines maximum)	<b>(10) Cash Match</b> If no match, type "N/A"
	<b>(11) In-Kind Match</b> If no match, type "N/A"
	<b>(12) Total Project Cost</b>

This grant award consists of this title page, the application for the grant which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. I hereby certify that: (1) I am vested with authority to, and have the approval of the City/County Financial Officer, City Manager, or Governing Board Chair, enter into this grant award agreement; and (2) all funds received pursuant to this agreement will be spent exclusively on the purposes specified. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, the *Grantee Handbook*, and the OES audit requirements, as stated in this RFP or RFA. The grant recipient further agrees to all legal conditions and terms incorporated by reference in this RFP or RFA.

<p style="text-align: center;"><b><u>FOR OES USE ONLY</u></b></p> <p>Item: _____</p> <p>Chapter: _____</p> <p>PCA No.: _____</p> <p>Components No.: _____</p> <p>Project No.: _____</p> <p>Amount: _____</p> <p>Split Fund: _____</p> <p>Split Encumber: _____</p> <p>Year: _____</p> <p>Fed. Cat. #: _____</p> <p>Match Requirement: _____</p> <p>Fund: _____</p> <p>Program: _____</p> <p>Region: _____</p>	<p><b>(13) Official Authorized to Sign for Applicant/Grant Recipient</b></p> <p>Signature: _____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Address: _____</p> <p>Telephone: (     ) _____</p> <p>E-mail address: _____</p> <p>Date: _____</p> <hr/> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <hr/> <p>Fiscal Officer, _____ Date _____</p> <hr/> <p>Executive Director, _____ Date _____</p>
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## CERTIFICATION OF ASSURANCE OF COMPLIANCE

I, \_\_\_\_\_, hereby certify that:  
(official authorized to sign grant award; same person as line 13 on Grant Award Face Sheet)

GRANTEE: \_\_\_\_\_

IMPLEMENTING AGENCY: \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

is responsible for reviewing the *Grantee Handbook*<sup>1</sup> and adhering to all of the Grant Award Agreement requirements (state and/or federal) as directed by OES including, but not limited to, the following areas:

### I. **Equal Employment Opportunity – (*Grantee Handbook Section 2151*)**

It is the public policy of the State of California to promote equal employment opportunity by prohibiting discrimination or harassment in employment because of race, religious creed, color, national origin, ancestry, disability (mental and physical) including HIV and AIDS, medical condition (cancer and genetic characteristics), marital status, sex, sexual orientation, denial of family medical care leave, denial of pregnancy disability leave, or age (over 40). **OES-funded projects certify that they will comply with all state and federal requirements regarding equal employment opportunity, nondiscrimination and civil rights.**

Please provide the following information:

Affirmative Action Officer: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

### II. **Drug-Free Workplace Act of 1990 – (*Grantee Handbook Section 2152*)**

The State of California requires that every person or organization awarded a grant or contract shall certify it will provide a drug free workplace.

### III. **California Environmental Quality Act (CEQA) – (*Grantee Handbook Section 2153*)**

The State of California requires all OES-funded projects to obtain written certification that the project is not impacting the environment negatively.

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<sup>1</sup> The *Grantee Handbook* can be obtained from [www.oes.ca.gov](http://www.oes.ca.gov). Applicant can select "Plans and Publications, RFA/RFP Grantee Handbook" to access the *Grantee Handbook*.

**IV. Lobbying – (*Grantee Handbook Section 2154*)**

OES grant funds, grant property, or grant funded positions shall not be used for any lobbying activities, including, but not limited to, being paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.

**V. Debarment and Suspension – (*Grantee Handbook Section 2155*)**

*(This applies to federally funded grants only.)*

OES-funded projects must certify that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department of agency.

**VI. Proof of Authority from City Council/Governing Board**

The above-named organization (applicant) accepts responsibility for and will comply with the requirement to obtain written authorization from the city council/governing board in support of this program. The applicant agrees to provide all matching funds required for said project (including any amendment thereof) under the Program and the funding terms and conditions of OES, and that any cash match will be appropriated as required. It is agreed that any liability arising out of the performance of this Grant Award Agreement, including civil court actions for damages, shall be the responsibility of the grant recipient and the authorizing agency. The State of California and OES disclaim responsibility of any such liability. Furthermore, it is also agreed that grant funds received from OES shall not be used to supplant expenditures controlled by the city council/governing board.

The applicant is required to obtain written authorization from the city council/governing board that the official executing this agreement is, in fact, authorized to do so. The applicant is also required to maintain said written authorization on file and readily available upon demand.

All appropriate documentation must be maintained on file by the project and available for OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the grantee may be ineligible for award of any future grants if the OES determines that any of the following has occurred: (1) the grantee has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

### CERTIFICATION

I, the official named below, am the same individual authorized to sign the Grant Award Agreement [line 13 on Grant Award Face Sheet], and hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

Authorized Official's Signature: \_\_\_\_\_

Authorized Official's Typed Name: \_\_\_\_\_

Authorized Official's Title: \_\_\_\_\_

Date Executed: \_\_\_\_\_

Federal ID Number: \_\_\_\_\_

Executed in the City/County of: \_\_\_\_\_

### AUTHORIZED BY:

- City/County Financial Officer
- City Manager
- Governing Board Chair

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

**THE PROJECT NARRATIVE  
GOES HERE**

No standard forms are provided for the Project Narrative.

See Instructions in Part II of this RFA for details.

**THE PROJECT BUDGET**  
**THE BUDGET NARRATIVE**

**GOES HERE**

No standard forms are provided for the Budget Narrative.

See Instructions in Part II of this RFA for details.

BUDGET CATEGORY AND LINE ITEM DETAIL			
A. Personal Services – Salaries/Employee Benefits	Federal	State	TOTAL
<b>TOTAL</b>			

Form A303a





[illegible]

## **GVS COMPONENTS BUDGET SUMMARY**

Provide a breakdown of the budget based on each components total allocation.

<b>Component Name</b>	<b>Budget by Component</b>
Law Enforcement	
Prosecution	
Probation	
Prevention	
Education	
<b>PROJECT TOTAL</b>	

**THE APPLICATION APPENDIX**  
**GOES HERE**

See Instructions in Part II of this RFA for details.

**GANG VIOLENCE SUPPRESSION  
MULTI-COMPONENT PROGRAM  
COMPONENT OBJECTIVES AND ACTIVITIES**

- |                     |                                  |
|---------------------|----------------------------------|
| <u>  <b>X</b>  </u> | <b>LAW ENFORCEMENT COMPONENT</b> |
| <u>          </u>   | PROSECUTION COMPONENT            |
| <u>          </u>   | PROBATION COMPONENT              |
| <u>          </u>   | PREVENTION COMPONENT             |
| <u>          </u>   | EDUCATION COMPONENT              |

## **LAW ENFORCEMENT COMPONENT**

This component's goal is the development and/or improvement of specialized gang units within law enforcement agencies to assist with the identification, investigation, and apprehension of gang violence perpetrators. These specialized law enforcement units coordinate with other funded components to address the problem of gang violence by sharing intelligence information and strategies.

The following section identifies the activities used as measurements for each of the objectives to be achieved in the law enforcement component. For each objective below, provide the information requested and include a narrative response, as specified.

### **MANDATORY OBJECTIVES**

#### **Program Objective 1: Utilizing your existing GVS Unit, facilitate a community-policing model and approach to gang suppression.**

The GVS Unit within the agency will use their highly qualified/trained personnel to be responsible for facilitating a problem solving model. This is defined as a management style and an organizational design that promotes police-community partnerships and proactive problem solving strategies that will support the suppression of gang-related crime in the target area.

The objective is measured by the following activities:

- 1a. Date collaborative began to meet regarding gang suppression efforts. \_\_\_\_\_ (date)
- 1b. Retain documentation of the problem solving process with your GVS collaborative (i.e., agenda, minutes, and sign-in sheets).

**Narrative:** Describe the management style and organizational design that promotes police-community partnerships. Retain a copy of agendas, minutes, and sign-in sheets. Describe the criteria used to allocate funding to components.

#### **Program Objective 2: Apprehension**

Concentrate efforts on individuals identified in accordance with the established GVS selection criteria. As a result of the specialized GVS unit, the agency must be able to increase the number of individuals identified as gang members and the number arrested for violent, gang-related crimes. The efforts of the unit must concentrate on improving the clearance rate of reported crimes identified as gang related. The data for this section must only include cases handled by the GVS project, which meet the established selection criteria. The GVS Unit must establish policy and procedures by which the prosecution and law enforcement components will collectively operate for successful vertical prosecution (P.C. §186.22). This policy must reflect the Local Coordinating Committee (LCC) identified priorities.

This objective is to increase apprehension of targeted gang members, as measured by the following activities:

- 2a. Describe any changes made to the GVS law enforcement/district attorney written policy for successful vertical prosecution (P.C. §186.22) on this project. Date the policy and procedures were written or modified. \_\_\_\_\_ (date)
- 2b. Number of gang members apprehended. \_\_\_\_\_

2c. Number of witnesses reporting intimidation in gang-related cases. \_\_\_\_\_

2d. Number of witnesses provided with protection services. \_\_\_\_\_

**Narrative:** Retain a copy of the prosecution and law enforcement components' policy and procedures. Describe how witnesses are being intimidated/protected. Describe how feedback to and from the District Attorney's Office will be maintained.

### **Program Objective 3: Crime Analysis**

Agencies must have the ability to do the following: identify active gang members; identify existing and evolving crime patterns for gang-related crimes; provide investigative leads; maintain statistical information on gang-related criminal activity; and track the progress of gang-related cases shared with the District Attorney's Office.

To accomplish the above, the crime analysis unit must have access to gang-related arrest information, including field interrogation cards, arrests, vehicle information, suspect files, and known offender files. Additional documentation may become necessary and may include, but is not limited to: parole/probation information; stolen property files, and other pertinent/confidential information. Establish a system for the GVS and crime analysis unit to collaborate. The goal is to gather, analyze, and disseminate information.

Report statistics for any gang that claims territory in all or part of your jurisdiction; or those that have established a pattern of criminal behavior within your jurisdiction; or is identified as being based in your jurisdiction, even though the majority of criminal activity may occur elsewhere.

Maintain crime analysis capability for gang-related criminal activity, as measured by the following activities:

3a. Number of individuals validated as gang members in the target area. \_\_\_\_\_

3b. Number of new gangs identified as active in the area. \_\_\_\_\_

3c. Number of crimes reported as gang related. \_\_\_\_\_

3d. Number of gang-related crimes investigated in the target area by the GVS unit. \_\_\_\_\_

**Narrative:** Describe how the GVS Unit and Crime Analysis Unit will work together to gather, analyze, and distribute gang-related information. Describe what types of crimes gangs are committing. Describe how feedback to and from the District Attorney's Office will be utilized in the problem solving strategies.

### **Program Objective 4: Street Terrorism Enforcement and Prevention (STEP) Act Coordination**

To assist the district attorney in the prosecution of individuals identified as members of a criminal street gang and to ensure that they are pursued to the full extent of the law, the law enforcement component will prepare specified documentation pursuant to Section 186.22 of the Penal Code. The GVS unit will use compiled gang information to generate a supplemental report validating that the individual is a member of a criminal street gang. This report will be attached to any documents submitted to the district attorney when seeking a complaint or indictment. This supplemental report shall contain, at a minimum:

- A summary of those predicate offenses establishing the pattern of criminal gang activity as defined in Section 186.22. The report will identify the criminal street gang and provide a summary of predicate offenses in support of the criminal street gang to which the charged individual was associated;
- An overview of the subject criminal street gang itself; and
- A summary of each predicate offense, including the agency case number; summary of the facts of the case; name of each defendant convicted and the charges under which he/she was convicted; the names of associates convicted along with expert opinion that the convicted defendant is a member of the subject criminal street gang; and expert opinion that the predicate offense is "gang related."

This objective will be measured by the following activities:

- 4a. Number of gang-related cases referred to the district attorney for prosecution or adjudication. \_\_\_\_\_
- 4b. Number of cases returned by the district attorney for follow up. \_\_\_\_\_
- 4c. Number of search warrants reviewed with the district attorney. \_\_\_\_\_
- 4d. Number of apprehended gang members prosecuted or adjudicated. \_\_\_\_\_

**Narrative:** Submit a description of a recent case by which the STEP Act applied and was utilized. Description should reflect a profile of the type of cases to be targeted in the future. Describe the collaborative policy regarding (P.C. §186.22) related cases.

#### **Program Objective 5: Coordination with Other Agencies**

Maintaining cooperative working partnerships in a multi-disciplinary approach to gang suppression requires regularly scheduled meetings. Coordination among collaborative agencies to implement consistent and compatible data systems is necessary to share information and ensure the best outcomes.

Increased coordination within your collaborative will be measured by the following activities:

- 5a. The establishment of operating procedures/memorandums of understanding for the project. Date procedures were submitted/modified. \_\_\_\_\_ (date)
- 5b. Number of LCC meetings attended. \_\_\_\_\_
- 5c. Number of Operation Coordinating Council (OCC) meetings attended. \_\_\_\_\_
- 5d. Number of collaborative prevention/education functions participated in. \_\_\_\_\_

**Narrative:** Describe the collaborative tool to be used to support gang suppression efforts. Examples can include referral forms, shared databases, or policies developed by the LCC.

### **Program Objective 6: Truancy Enforcement**

Effective enforcement of truancy violations requires a high functioning collaborative team approach. This can enhance gang suppression efforts and increase the apprehension and intelligence gathering needed to suppress gangs in the target area through the utilization of a team approach in linking potential gang members to the collaborative agencies and objectives.

Increased apprehension of truancy violators will be measured by the following activities:

- 6a. Number of unexcused absences in the target area. \_\_\_\_\_
- 6b. Number of truant students reported to a central location for parent notification.  
\_\_\_\_\_

**Narrative:** Describe how truancy violations will be addressed. Include information of other GVS component's involvement.

### **Program Objective 7: Curfew Enforcement**

Effective enforcement of curfew violations requires a heavy commitment of law enforcement officers during specific periods of time. A team approach between the law enforcement agency and the local probation department can be effective in identifying youth apprehended for curfew violations who have also violated the conditions of their probation.

Increased apprehension of curfew violators will be measured by the following activities:

- 7a. Number of curfew violators who will be taken to a central location to be held until released to parents or guardians. \_\_\_\_\_
- 7b. Number of youth whose probation has been violated as a result of this curfew violation. \_\_\_\_\_

**Narrative:** Describe the target curfew violators. How will curfew violations be enforced?



**GANG VIOLENCE SUPPRESSION  
MULTI-COMPONENT PROGRAM  
COMPONENT OBJECTIVES AND ACTIVITIES**

- ☐ LAW ENFORCEMENT COMPONENT
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- ☐ PROBATION COMPONENT
- ☐ PREVENTION COMPONENT
- ☐ EDUCATION COMPONENT

## **PROSECUTION COMPONENT**

A premise of this program is that a few gang members commit a significant proportion of the crimes and negatively influence the behavior of other gang members. One effective tool is to incapacitate criminal gangs through targeted special prosecution of leaders, particularly those whose actions stimulate other gang members to commit illegal, violent activities.

The GVS Program targets gangs composed of juveniles, or a mixture of juveniles and adults. Prosecuting and incarcerating violent gang members, regardless of age, significantly impacts their influence, particularly over young members.

Historically, gang violence cases are difficult to prosecute since many witnesses are either gang members, or are reluctant to testify for fear of retaliation. To help overcome these difficulties, GVS units are required to have witness protection programs and experienced investigators and attorneys handling a lower number of cases than their office average.

The authorizing legislation, Penal Code Section 13826.2, specifies the four characteristics each GVS prosecution component must contain:

- Vertical prosecution, whereby the prosecutor who makes the initial filing or appearance in a gang-related case will perform all subsequent court appearances on that particular case through its conclusion, including sentencing phase, rather than having several prosecutors sporadically involved in the case;
- Highly qualified investigators and prosecutors assigned to gang-related cases;
- Significantly reduced caseloads for investigators and prosecutors assigned to gang-related cases; and
- Coordination with law enforcement agencies to protect cooperating witnesses from intimidation or retribution by gang members or associates.

The legislation, Penal Code Section 13826.3, also specifies the criteria by which GVS prosecution units must make case selections. For the unit to accept a case, an individual must be under arrest for the commission or attempted commission of any gang-related violent crime where the individual is a known gang member, and has a history of prior criminal activity.

For each objective below, provide the information requested and include a narrative response, as specified.

## **MANDATORY OBJECTIVES**

### **Program Objective 1: Agency Coordination**

Enhance coordination among agencies involved in the suppression of gang violence, including law enforcement, probation, schools, and community organizations, as measured by the following activities:

- 1a. Number of LCC meetings attended. \_\_\_\_\_
- 1b. Number of OCC meetings attended. \_\_\_\_\_
- 1c. Number of collaborative prevention/education functions participated in. \_\_\_\_\_

**Narrative:** Discuss the prosecution's role in the LCC and OCC meetings. Define the participation in the education and prevention roles. Discuss how this role will continue during the duration of the grant.

### **Program Objective 2: Participate in Crime Analysis**

Agencies must have the ability to do the following: identify and track existing and evolving prosecution patterns for gang-related target crimes for a minimum of two years and provide a feedback loop to the GVS collaborative, as measured by the following activities:

- 2a. Number of cases referred for prosecution. \_\_\_\_\_
- 2b. Number of cases returned to law enforcement agencies for follow-up. \_\_\_\_\_
- 2c. Number of search warrants reviewed with the law enforcement component. \_\_\_\_\_
- 2d. Number of gang-related cases rejected. \_\_\_\_\_
- 2e. Number of gang-related cases vertically prosecuted last year. \_\_\_\_\_
- 2f. Number of gang-related cases prosecuted by GVS attorney. \_\_\_\_\_

**Narrative:** Discuss the types of cases referred for prosecution and the number of cases returned to law enforcement agencies for follow-up. Discuss how the prosecution's role will reduce the number of gang-related cases that are rejected. Discuss how this is different from current practices.

### **Program Objective 3: Apprehension**

Concentrate efforts on individuals identified in accordance with the established GVS selection criteria.

Increase the apprehension of hard-core targeted gang members, as measured by the following activities:

- 3a. Number of witnesses reporting intimidation in gang-related cases. \_\_\_\_\_
- 3b. Number of witnesses provided with protection services. \_\_\_\_\_

**Narrative:** Retain a copy of written procedures. Describe how these witnesses were intimidated, and how they were protected. Describe how feedback to and from the law enforcement component will be maintained.

### **Program Objective 4: Pretrial Release**

Prior to trial/hearing, prosecutors shall resist the release of a charged defendant/minor, meeting the selection criteria as measured by the following:

- 4a. Number of defendants in continuous custody through case completion. \_\_\_\_\_
- 4b. Number of defendants not in continuous custody through case completion. \_\_\_\_\_

- 4c. Number of minors in continuous custody at completion of their depositional hearing. \_\_\_\_
- 4d. Number of minors **not** in continuous custody at completion of their depositional hearing. \_\_\_\_

**Narrative:** Discuss the agency's plan to resist defendant's/minor's release from custody prior to trial/jurisdictional hearing.

**Program Objective 5: Reduce Plea-Bargaining**

Eliminate or reduce the use of plea-bargaining, as measured by the following activities:

- 5a. Number of defendants/minors with cases completed by:

Trial: \_\_\_\_

Dismissal: \_\_\_\_

- 5b. Number of defendants/minors with cases completed by:

An open/straight plea: \_\_\_\_

A plea bargain by the court or prosecutor: \_\_\_\_

- 5c. Number of defendants/minors with cases completed by:

A plea to the most serious charge: \_\_\_\_

A plea to a lesser charge: \_\_\_\_

**Narrative:** Discuss the agency's plea bargain policy in regards to gang-related cases.

**Program Objective 6: Sentence Length**

Increase the length of sentence/commitments and the ratio of maximum sentences/commitments in cases prosecuted, as measured by the following activities:

- 6a. Number of defendants sentenced to incarceration with gang-related enhancements P.C. §186.22. \_\_\_\_
- 6b. Number of defendants convicted of the most serious charge, and who received the most severe sentence for that charge. \_\_\_\_
- 6c. Number of defendants convicted on a lesser charge and who received the most severe sentence for that charge. \_\_\_\_
- 6d. The average length of sentence. \_\_\_\_

**Narrative:** Describe how the project prosecutor(s) will seek enhanced sentences or commitments.

### **Program Objective 7: Reduce Prosecutor Caseload**

Reduce the GVS unit prosecutor's average caseload, in comparison to the average caseload of other felony prosecutors in non-vertical prosecution units, as measured by the following activities:

- 7a. The average caseload of non-vertically prosecuted felony cases by non-GVS unit prosecutors. \_\_\_\_\_
- 7b. The average GVS unit project caseload. \_\_\_\_\_

**Narrative:** Describe how the GVS unit will maintain a reduced caseload.

### **Program Objective 8: STEP Act Prosecutions**

This objective will enhance and increase the prosecutor's abilities in the selection, criteria, filing supplementary offense reports validating "criminal street gang membership", and "criminal street gang validation" as codified in Section 186.22 of the Penal Code.

This objective will be measured by the following activities:

- 8a. Describe any changes made to the GVS district attorney/law enforcement policy for successful vertical prosecution (P.C. §186.22) on this project. Date the policy and procedures were written and / or modified. \_\_\_\_\_ (date)
- 8b. Number of defendants convicted. \_\_\_\_\_

**Narrative:** Upon establishment of policies/procedures, submit a copy to OES. If these policies and procedures were not established previously, how is this process different from the previous procedure.

**GANG VIOLENCE SUPPRESSION  
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- ☐ LAW ENFORCEMENT COMPONENT
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- ☒ **PROBATION COMPONENT**
- ☐ PREVENTION COMPONENT
- ☐ EDUCATION COMPONENT

## **PROBATION COMPONENT**

Probation departments must establish intensive supervision units, which concentrate efforts and resources on individuals identified as gang members, in accordance with the established local selection criteria. They must also interact with other funded components and the courts to insure a comprehensive and coordinated effort.

For each objective below, provide the information requested and include a narrative response, as specified.

### **MANDATORY OBJECTIVES**

#### **Program Objective 1: Establish a Gang Violence Suppression Unit**

The Probation Officer should meet the following standards: Experience in validating P.C. §186.22 charges and allegations as an expert. The threshold of an expert is: (1) the expert has had conversations with members of the defendant's gang, (2) the expert has had conversations with rival gangs, (3) the expert personally investigated gang crimes and (4) the expert has reviewed information from other officers, departments, records, and documents. In addition, the caseload will be less than the average standard caseload. The caseload must be reduced by one-third of the office standard or not exceed 50 probationers per probation officer, whichever is less.

Develop written criteria and procedures to determine which probationers will be assigned to the Multi-Component Program. The selection criteria must be approved by the LCC.

This objective will be measured by the following activities:

- 1a. The projected average number of contacts during each monthly period between the GVS unit probation officer and each probationer. \_\_\_\_\_
- 1b. The projected average number of collateral probation contacts during each monthly period between the GVS unit probation officer and each probationer. \_\_\_\_\_

**Narrative:** Retain written criteria and procedures identifying probationers' long-term and short-term goals and objectives. These goals and objectives require collaborative case-planning in guiding the probationer to a decision of further intervention or prevention. Include your department's definition of collateral contacts.

#### **Program Objective 2: Agency Coordination**

Maintaining cooperative working partnerships in a multidisciplinary approach to gang suppression requires regularly scheduled meetings. Coordination among your collaborative agencies to implement consistent and compatible data systems is necessary to share information and ensure the best outcomes.

Increased coordination within your collaborative will be measured by the following activities:

- 2a. Retain your operating procedures/memorandums of understanding. Date procedures were established/modified. \_\_\_\_\_ (date)
- 2b. Number of LCC meetings attended. \_\_\_\_\_

2c. Number of OCC meetings attended. \_\_\_\_\_

**Narrative:** Retain copies of referral forms, and policies developed by the LCC to improve GVS coordination.

### **Program Objective 3: Enforce Probation Conditions**

Coordination with law enforcement and prosecution components is critical on specific target conditions identified within court orders.

This objective will be measured by the following activities:

3a. Identify which conditions require a disproportionate amount of your time to enforce.

3b. Number of probationers returned to court for violating conditions of probation.  
\_\_\_\_\_

**Narrative:** Describe the coordinated efforts to address probation conditions.

### **Program Objective 4: Truancy Enforcement**

Effective enforcement of truancy violations requires a high functioning collaborative team approach. This can enhance your gang suppression efforts, increase the apprehension and intelligence gathering needed to suppress gangs in your target area, and utilize a team approach.

The objectives will be measured by the following activities:

4a. Number of unexcused absences of your GVS caseload in the target area. \_\_\_\_\_

4b. Number of youth whose probation has been violated as a result of the truancy violation. \_\_\_\_\_

**Narrative:** Describe how truancy violations will be addressed. Include any other components' involvement.

### **Program Objective 5: Curfew Enforcement**

Effective enforcement of curfew violations requires a heavy commitment from law enforcement officers during specific periods of time. A team approach between the law enforcement agency and the local probation department can be effective in identifying youth apprehended for curfew violations who have also violated the conditions of their probation.

Increase the apprehension curfew violators, as measured by the following activities:

5a. Number of curfew violators who will be taken to a central location to be held until released to parents or guardians. \_\_\_\_\_

5b. Number of youth whose probation has been violated as a result of the curfew violation.  
\_\_\_\_\_

**Narrative:** Describe the target curfew violators. How will curfew violations be enforced?



**GANG VIOLENCE SUPPRESSION  
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- ☒ **PREVENTION COMPONENT**
- ☐ EDUCATION COMPONENT

## **PREVENTION COMPONENT**

Community-based organizations (CBO) provide services in the schools, outreach into the community, and coordinate with law enforcement to model a safe community. Project staff mediates between individuals and groups to find non-violent solutions to potentially violent situations. At-risk and gang-involved youth and their parents are provided multi-cultural counseling, multi-lingual information, and referral services for opportunities leading to constructive activities. Project staff work cooperatively with law enforcement to support the participation of witnesses to gang crimes. The CBO will develop and implement strategies to suppress and prevent gang violence and related drug abuse. Project staff also work within the community to increase citizen involvement and organize community resources.

For each objective below, provide the information requested and prepare and include a narrative response, as specified.

### **MANDATORY OBJECTIVES**

#### **Program Objective 1: Participate on the LCC and OCC**

The central organizing body (LCC) and the day-to-day operations committee (OCC) requires active participation. As a member of both committees this component will provide information from the collaborative community perspective. This component will offer cultural and linguistic support for the GVS project, maximizing the opportunity of cultural and linguistic competence, when necessary.

The objective will be measured by the following activities:

- 1a. Plan community activities that respond to the problem identified by the LCC and OCC.
- 1b. Number of LCC meetings attended. \_\_\_\_\_
- 1c. Number of OCC meetings attended. \_\_\_\_\_

**Narrative:** Describe the comprehensive needs assessment results conducted in the prior year. Describe how the project will provide cultural and linguistic support for the GVS grant, when necessary. Describe what type of community activities will be conducted in response to the problems identified by the LCC and OCC.

#### **Program Objective 2: Counseling**

A primary goal will be to surpass potential violent criminal activity through communication and mediation. Counseling programs should strive towards changing community perception of violence. Counseling should increase the individual's sense of self-worth, and delay immediate gratification behaviors. Counseling should guide a process that engages people into the community, creating a better place for generations to come. Services should teach children and families to see the good in people while learning about themselves. The counseling services can guide a frustrated individual into a motivated, positive community member.

This objective will be measured by the following activities:

- 2a. Number of youth provided individual counseling that were referred by the GVS collaborative. \_\_\_\_\_

- 2b. Number of families provided counseling that was referred by the GVS collaborative. \_\_\_\_\_
- 2c. Number of target area families provided counseling that were **not** referred by the GVS collaborative. \_\_\_\_\_
- 2d. Number of children and families provided counseling in a language other than English. \_\_\_\_\_
- 2e. Number of in-home counseling sessions. \_\_\_\_\_

**Narrative:** Describe how individuals will be selected for counseling; who will be providing the counseling, and what their qualifications are; and the types of counseling to be offered. Also describe the mediation services to be provided. List languages used in counseling/mediation sessions other than English.

Describe the types of formal sessions provided by project staff with gang members, potential gang members and family members. The project must maintain records, which include: the dates of counseling sessions; individuals counseled; type of and purpose of the counseling (e.g., group counseling sessions; individuals counseled; group counseling on employment, individual session(s) on school problems, or family sessions to improve communication); the outcome of conflict resolution sessions; and any referral information.

### **Program Objective 3: Role Models/Mentoring**

Establish after school and weekend contacts between positive role models and the target youth. The activities supporting this objective are to provide adult mentors to youth and focus in the area of school tutoring, professional development, personal development or community service.

This objective will be measured by the following activities:

- 3a. Number of GVS youth/children involved in mentoring after school. \_\_\_\_\_
- 3b. Number of adult role models to participate in the mentor program. \_\_\_\_\_
- 3c. Number of student role models to participate in the program. \_\_\_\_\_
- 3d. Number of at-risk youth connected with vocational training/job placement training; sports, athletics, or recreational programming; school/community service activities; and/or specialized educational programming as a result of the mentor/role model relationship. \_\_\_\_\_
- 3e. Number of active role models who reside in the target area. \_\_\_\_\_

**Narrative:** Describe how the mentors will be recruited, screened, selected, and matched with an appropriate youth. Describe the targeted activities that each mentor will initiate with the selected youth. Describe how the mentor will be monitored and supervised. Describe the policy and process whereby the mentor relationship would be terminated.

#### **Program Objective 4: Gang Awareness Education and Strategies**

Educate parents, religious leaders, school personnel, parent/teacher organizations, landlords, business, and civic leaders in gang awareness and on strategies to combat gang activities.

This objective will be measured by the following activities:

- 4a. Number of training sessions to be held for school and community groups. \_\_\_\_\_
- 4b. Number of school personnel and parents trained in local gang culture. \_\_\_\_\_
- 4c. Number of community representatives, who will complete training, including religious leaders, parent/teacher organizations, landlords, business leaders, civic leaders, and others. \_\_\_\_\_
- 4d. Number of new partners brought into LCC/OCC. \_\_\_\_\_

**Narrative:** Describe those activities designed to publicize and train the community on gang awareness. Include a general outline of the method of recruiting trainees, method of instruction, and intended learning outcomes.

#### **Optional Program Objective 5: Local Needs**

A project may establish optional objectives, based upon LCC and OCC identified needs, to address local gang violence problems in the project's target area. Ensure that the measurements of the activities selected to accomplish the objective are quantifiable.

**GANG VIOLENCE SUPPRESSION  
MULTI-COMPONENT PROGRAM  
COMPONENT OBJECTIVES AND ACTIVITIES**

- ☐ LAW ENFORCEMENT COMPONENT
- ☐ PROSECUTION COMPONENT
- ☐ PROBATION COMPONENT
- ☐ PREVENTION COMPONENT
- ☒ **EDUCATION COMPONENT**

## **EDUCATION COMPONENT**

Involvement by the education system is critical to prevent the spread of gang violence. Students should be made aware of the dangers related to carrying and using firearms or other lethal weapons, and the identified priorities recognized by the LCC/OCC. Students need to be educated about the issues involving drugs, and how it parallels violence or criminal activity. A focus is needed on prevention in grades K through 5. As students enter middle and high schools, the emphasis must be a blend of intervention/prevention.

The education component is designed to address these findings by providing and implementing a plan of anti-gang/drug attitudes. Also, the education component brings an important prevention and intervention element to this Multi-Component Group Model.

### **MANDATORY OBJECTIVES**

#### **Program Objective 1: Participate in the LCC and OCC**

The central organizing body (LCC) and the day-to-day operations committee (OCC) require active participation. As a member of both committees, this component will provide information to the collaborative reflecting mainstream attitudes that will be critical in the problem-solving model.

This objective will be measured by the following activities:

- 1a. Maintain an updated narrative of the comprehensive school safety plan that this GVS component has contributed towards in the target area.
- 1b. Provide a narrative description of the priorities and concerns of your targeted schools' *California Safe Schools Assessment Report (CSSAR)*. Describe how the GVS priorities will impact the school safety issues.
- 1c. Report the target area suspension rate. \_\_\_\_\_
- 1d. Report the target area expulsion rate. \_\_\_\_\_

**Narrative:** Describe the target area specific to Education Code Section 35183, and other related problems in the area. Describe the concerns and priorities in the targeted school districts, and what action will be taken. Describe the type of reinforcement to be provided to students who are being expelled.

#### **Program Objective 2: Gang Violence Suppression Training**

Provide prevention and intervention services utilizing the experts of the GVS project to target students, teachers, and administrators.

This objective will be measured by the following activities:

- 2a. Number of GVS sponsored assemblies. \_\_\_\_\_
- 2b. Number of credentialed staff trained in gang identification. \_\_\_\_\_
- 2c. Number of classified staff trained in gang identification. \_\_\_\_\_

- 2d. Number of Safe Schools task force meetings attended. \_\_\_\_\_
- 2e. Number of Safe Schools steering committee presentations presented. \_\_\_\_\_

**Narrative:** Discuss who, what, and when for the GVS sponsored assemblies. Who are the staff trained in gang identification, and provide background information of each staff. Ensure coordination with LCC/OCC identified priorities are met.

### **Program Objective 3: Coordination With Other Agencies**

This component must actively promote the cooperation and coordination among agencies involved in the suppression of gang violence to include law enforcement, prosecution, probation, and community-based organizations.

This objective will be measured by the following activities:

- 3a. Number of LCC meetings attended. \_\_\_\_\_
- 3b. Number of OCC meetings attended. \_\_\_\_\_
- 3c. Number of gang-related incidents reported to law enforcement. \_\_\_\_\_
- 3d. Number of GVS referrals forwarded to:
- |                 |       |
|-----------------|-------|
| Law Enforcement | _____ |
| Prosecution     | _____ |
| Probation       | _____ |
| CBO             | _____ |
| Other           | _____ |
- 3e. Number of gang awareness training sessions to be held for school and community groups. \_\_\_\_\_
- 3f. Number of school members trained in the training sessions. \_\_\_\_\_
- 3g. Number of community representatives, including religious leaders, parent/teacher organizations, landlords, business leaders, civic leaders, and others, who will complete training. \_\_\_\_\_

### **Program Objective 4: Role Models**

Establish contact between positive role models and youth-at risk and develop mentoring services. It is strongly encouraged for you to work with CBO to achieve this objective. The activities supporting this objective are to provide adult mentors to youth in the area of school, professional development, personal development, and/or community services, and to involve youth in mentoring activities.

This objective will be measured by the following activities:

- 4a. Number of students enrolled in the role model program. \_\_\_\_\_
- 4b. Number of students involved in the program as a mentor. \_\_\_\_\_
- 4c. Number of adult role models participating in the program. \_\_\_\_\_

**Narrative:** Describe how the students will be recruited to become mentors. Describe how the adult role models will be recruited.

**Optional Objective 5: Local Needs**

A project may establish optional objectives, based upon LCC and OCC identified needs, to address local gang violence problems in the project's target area. Ensure that the measurements of the activities selected to accomplish the objective are quantifiable.



## SAMPLE OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the (applicant agency) and the (agency) intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in (jurisdiction). Both agencies believe that implementation of the (program) application, as described herein, will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

The (applicant agency) project will closely coordinate the following services with the (agency) through:

- Project staff being readily available to (agency) for service provision through (describe arrangements with the agency);
- Regularly scheduled meetings (how often) between (persons/positions) to discuss strategies, timetables and implementation of mandated services.

\* Specifically:

\* List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of (applicant agency) and (agency), do hereby approve this document.

For \_\_\_\_\_

For \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

## **PROJECT SERVICE AREA INFORMATION**

1. COUNTY OR COUNTIES SERVED: Enter the name(s) of the county or counties served by the project. Put an asterisk where the principal office of the project is located.
  
2. U.S. CONGRESSIONAL DISTRICT(S): Enter the number(s) of the U.S. Congressional District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.
  
3. STATE ASSEMBLY DISTRICT(S): Enter the number(s) of the State Assembly District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.
  
4. STATE SENATE DISTRICT(S): Enter the number(s) of the State Senate District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.
  
5. POPULATION OF SERVICE AREA: Enter the total population of the service area served by the project.

## **PROJECT CONTACT INSTRUCTIONS**

1. Provide the name, title, address, telephone number, and e-mail address for the person having day-to-day responsibility for the project.
2. Provide the name, title, address, telephone number, and e-mail address for the person to whom the person listed in #1 is accountable.
3. Provide the name, title, address, telephone number, and e-mail address for the Chief Executive of the implementing agency.
4. Provide the name, title, address, telephone number, and e-mail address for the financial officer for the project.
5. Provide the name, title, address, telephone number, and e-mail address for the project director for the project.
6. Provide the name, title, address, telephone number, and e-mail address for the Chair of the Governing Body of the implementing agency.

## PROJECT CONTACT INFORMATION

Applicant: \_\_\_\_\_ Grant Number \_\_\_\_\_

Provide the name, title, address, telephone number, and e-mail address for the project contact persons named below. **If a section does not apply to your project, enter "N/A."**

1. The **person** having **day-to-day responsibility** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

2. The **person** to whom the person listed in **#1 is accountable**:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

3. The **executive director** of a nonprofit organization or the **chief executive officer** (e.g., chief of police, superintendent of schools) of the implementing agency:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

4. The **financial officer** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

5. The **project director** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

6. The **chair** of the **governing body** of the implementing agency: *(Provide address and telephone number other than that of the implementing agency.)*

Name:	Title:	
Address:	City:	Zip:
Telephone Number: (    )	Fax Number: (    )	
E-Mail Address:		

## **GVS COMPONENTS CONTACT INFORMATION**

Applicant: \_\_\_\_\_ Grant Number \_\_\_\_\_

Provide the name, title, address, telephone number, and e-mail address for the primary contact person for each of the five project components.

**1. Law Enforcement Component:**

Agency Name:

Name:

Address:

Telephone Number: (     )

E-Mail Address:

Title:

City:

Fax Number: (     )

Zip:

**2. Prosecution Component:**

Agency Name:

Name:

Address:

Telephone Number: (     )

E-Mail Address:

Title:

City:

Fax Number: (     )

Zip:

**3. Probation Component:**

Agency Name:

Name:

Address:

Telephone Number: (     )

E-Mail Address:

Title:

City:

Fax Number: (     )

Zip:

**4. Prevention Component:**

Agency Name:

Name:

Address:

Telephone Number: (     )

E-Mail Address:

Title:

City:

Fax Number: (     )

Zip:

**5. Education Component:**

Agency Name:

Name:

Address:

Telephone Number: (     )

E-Mail Address:

Title:

City:

Fax Number: (     )

Zip:

## PROJECT SUMMARY INSTRUCTIONS

All of the necessary project information must be placed on the form in the space allowed. **Additional pages may not be added.** This is a summary of the project narrative.

1. **PROJECT YEAR:** If the project is new, check new. If the project is continuing, check the box of the proposed year of the project (i.e., Year 2) or insert the year of operation. In this case, check the "Other" box and type in "Year 4".
2. **PROJECT TITLE:** Enter the complete title. The title **MUST** describe the focus of the project. Acronyms are not acceptable. Do not exceed 60 characters, including space and punctuation.
3. **GRANT PERIOD:** Enter the beginning and ending dates of funding as specified in the grant application.
4. **APPLICANT:** Enter the name and complete address of the organization that is applying for the grant.
5. **FUNDS REQUESTED:** Enter the amount of grant funds requested. This must be the same amount used on the budget pages and on the application cover sheet.
6. **IMPLEMENTING AGENCY:** Enter the agency or organization designated on the Grant Award Face Sheet as the programmatic recipient of the grant funds who will accomplish the planned objectives and program goals.
7. **PROGRAM DESCRIPTION:** Provide a description of the specific area of service which OES is authorized to fund based upon state or federal legislation.
8. **PROBLEM STATEMENT:** Describe the problem the project will address. Support the problem with data such as number of offenses, description of the target area, and local needs.
9. **OBJECTIVES:** Include the quantifiable measurements which define a course of action in order to accomplish the program goals.
10. **ACTIVITIES:** Describe activities you will perform to accomplish each objective (quantify where possible).
11. **CATEGORY:** Type N/A for not applicable.
12. **PROGRAM AREA:** Type N/A for not applicable.
13. **EVALUATION:** Describe how project performance will be measured. Note who will conduct the evaluation (e.g., project staff, government personnel, or outside consultants).
14. **NUMBER OF CLIENTS TO BE SERVED:** Enter the number of clients.
15. **PROJECTED BUDGET:** List all noted budget items. Be specific in breakdown of grant funds and all other budget sources.

## PROJECT SUMMARY

**1. PROJECT YEAR**

New

Year 2

Year 3

Other \_\_\_\_\_

**2. PROJECT TITLE****3. GRANT PERIOD**

\_\_\_\_\_ to

\_\_\_\_\_

**4. APPLICANT**

Name:

Phone: (    )

Address:

Fax #: (    )

**5. FUNDS REQUESTED**

\$ \_\_\_\_\_

**6. IMPLEMENTING AGENCY**

Name:

Phone: (    )

Fax #: (    )

Address:

**7. PROGRAM DESCRIPTION****8. PROBLEM STATEMENT****9. OBJECTIVES**

<b>10. ACTIVITIES</b>     	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;"> <b>11. CATEGORY</b>   <div style="text-align: center;">N/A</div> </td> </tr> <tr> <td style="padding: 5px;"> <b>12. PROGRAM AREA</b>   <div style="text-align: center;">N/A</div> </td> </tr> </table>	<b>11. CATEGORY</b>  <div style="text-align: center;">N/A</div>	<b>12. PROGRAM AREA</b>  <div style="text-align: center;">N/A</div>																																						
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## **ADDITIONAL SIGNATURE AUTHORIZATION INSTRUCTIONS**

Applicant may request signature authority in addition to the designated Project Director and/or Financial Officer by completing an Additional Signature Authority form and submitting it with the Grant Award Forms package. Space is provided for the addition of up to five (5) additional authorizations for the Project Director or Financial Officer.

No single individual may be authorized to sign for both the Project Director and the Financial Officer. **By signing the bottom of this form, the Project Director and/or Financial Officer authorize the person(s) identified on the form to act on their behalf on all grant-related matters.**

## ADDITIONAL SIGNATURE AUTHORIZATION

Grant Award #: \_\_\_\_\_

Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

Grant Period: \_\_\_\_\_ to \_\_\_\_\_

The following persons are authorized to sign for:

### Project Director

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

### Financial Officer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

---

### Approved By:

Project Director: \_\_\_\_\_

\_\_\_\_\_  
Date

Financial Officer: \_\_\_\_\_

\_\_\_\_\_  
Date

Regional/Local  
Planning Director: \_\_\_\_\_

\_\_\_\_\_  
Date

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**PROGRAMMATIC PURCHASE JUSTIFICATION**

As stated in the *Grantee Handbook*, approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

- A. In narrative form, please answer the following questions. Attach as many pages as necessary to fully answer each question.
1. What is your agency's purpose for the proposed system? Include a description of the items to be purchased and how they will be used. Also, explain how the proposed equipment and/or software will enhance the project's ability to achieve the objectives/activities of the project as specified in the Grant Award Agreement.
- B. If the request is for hardware and software in which the total costs exceed \$10,000, answer the following questions:
1. Describe the proposed design of your system and indicate whether this is a new system or an addition/enhancement of an existing one. In your description please be specific as to type and location of hardware/software and how the system will be operated and maintained.
  2. Will the proposed system design meet not only your current, but future needs? Describe in detail.
  3. Does the proposed system integrate with others within the agency? Explain both yes and no responses in detail.
  4. Do you plan on integrating this system with existing city, county, regional or statewide networks? Explain both yes or no responses in detail.
  5. For criminal justice agencies, does the proposed system meet the minimum requirements of the Statewide Integrated Narcotics System (SINS)? Contact OES for additional information regarding SINS requirements.
  6. Does the proposed system include intelligence data subject to 28 CFR Part 23 (2003)? Contact California Department of Justice at (916) 263-1182, Western States Information Network regarding these requirements and have them sign the certification of compliance.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
CRIMINAL JUSTICE PROGRAMS DIVISION**

**GANG VIOLENCE SUPPRESSION MULTI-COMPONENT PROGRAM  
REQUEST FOR APPLICATION**

**PART IV – ADDITIONAL INFORMATION**

This section contains additional information that applicant is strongly encouraged to review in preparing your application.

- A. Finalizing the Grant Award Agreement
- B. Administrative Requirements
- C. Budget Policy

## **A. FINALIZING THE GRANT AWARD AGREEMENT**

### **1. Standard Project Funding Authority**

**Allocation of funds is contingent on the enactment of the State Budget.** OES does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring expenditures. Any expenditures incurred prior to authorization are made at the project's risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the grantee. However, no such termination or reduction shall apply to allowable costs already incurred by the grantee to the extent that state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Agreement.

### **2. Certification of Assurance of Compliance**

Applicant must complete a Certification of Assurance of Compliance (Form 656), which includes details regarding Equal Employment Opportunity Program (EEOP), Drug Free Workplace Compliance, California Environmental Quality Act, Lobbying, Debarment and Suspension requirements, and Proof of Authority from City Council/Governing Board. Applicant is required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. In signing the Grant Award Face Sheet, the applicant formally notifies OES that the applicant will comply with all pertinent requirements.

Resolutions are no longer required as submission documents. OES has incorporated the resolution into the Certification of Assurance of Compliance, Section VI, entitled, "Proof of Authority from City Council/Governing Board." The Applicant is required to obtain written authorization from the city council/governing board that the official executing the agreement is, in fact, authorized to do so, and will maintain said written authorization on file and readily available upon demand.

### **3. Grant Award Conditions**

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or any other requirements deemed necessary by OES.

### **4. Grant Award Agreements**

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. Applicant is not authorized to incur costs against the grant until they have

received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the Report of Expenditures and Request for Funds (Form 201) may be submitted for reimbursement.

## **5. Grant Award Amounts**

Due to the limited amount of funds available, it may be necessary for OES to reduce the amount of the grant award from that requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

## **B. ADMINISTRATIVE REQUIREMENTS**

### **1. The Grantee Handbook**

The *Grantee Handbook* is accessible on the OES Internet website at [www.oes.ca.gov](http://www.oes.ca.gov). Applicant can select "Plans and Publications, RFA/RFP Grantee Handbook." The *Grantee Handbook* contains administrative information and requirements necessary to implement the project. Grantees must administer their grants in accordance with the *Grantee Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

### **2. Internet Access**

Funded projects are required to maintain internet access with an established e-mail address. Grant funds may be used for this purpose, unless specifically prohibited by the RFP instructions.

### **3. Progress Reports and Data Collection**

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period of three years. During programmatic monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

### **4. Monthly/Quarterly Report of Expenditures and Request for Funds (Form 201)**

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (Form 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within thirty calendar days at the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

### **5. Technical Assistance/Site Visits**

Each project receiving funds is assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system

and in the administrative execution of Grant Award Agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance. Projects must submit a request for approval for any changes to their project to the program specialist.

## **6. Monitoring Requirements**

A monitoring visit is an onsite assessment by the OES Monitoring and Audits Branch staff to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Grantee Handbook*. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's source documentation as substantiation for project goals, objectives, and activities.

## **7. Bonding Requirements**

All private nonprofit organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OES-funded projects within sixty days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services."

The time period covered by the bond must include the effective date and total time period of the grant, including any extensions. The bond must be in an amount equal to 50 percent of the total grant award and may have a deductible in an amount not to exceed \$1,000.

A bond is not required of applicants sponsored by units of government. Nonprofit organizations sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract, unless specifically required in the RFP instructions or grant award conditions.

## **8. Audit Requirements**

All grantees must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the RFP Budget Policy.

## **9. Copyrights, Rights in Data, and Patents**

OES owns all rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, any material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Grantee Handbook*.

## **10. Source Documentation**

The applicant is required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records

used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Projects will be required to have written job descriptions on file for all positions funded by OES detailing specific grant-related activities to achieve project objectives.

## **C. BUDGET POLICY**

This document summarizes information on OES Budget Policy contained in the *Grantee Handbook*. Additional information may be obtained by accessing the *Grantee Handbook* at [www.oes.ca](http://www.oes.ca). Applicant can select “Plans and Specifications, RFA/RFP Grantee Handbook.”

### **1. Supplanting Prohibited**

Grant funds must be used to supplement existing funds for program activities and **not replace** funds that have been appropriated for the same purpose. A written certification must be provided to OES indicating the grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are discussed at length in section 1313 of the *Grantee Handbook*.

### **2. Project Income**

Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFA instructions.

### **3. Sole/Single Source Requests**

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored, and sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OES will provide assistance in submitting a sole/single source request if OES determines it is in the best interest of the project.

### **4. Match Policies**

The RFA instructions (Part II) may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. Match specified in the budget will become part of the grant award. Specific instructions for calculating



the match are provided below. There are examples of how to calculate the match requirement in sections 6550 – 6550.2 of the *Grantee Handbook*.

## **5. Travel Policies**

The following is OES' current travel policy:

### **a. Selection of Travel Policy**

Applicant may prepare the budget using their own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

#### **1) Units of Government**

Units of government may use their own written travel policy or the state policy.

#### **2) Private Nonprofit Organizations**

A private nonprofit organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

### **b. State Travel Policy**

Use the following state travel policy for budgeting travel expenses:

#### **1) Out-of-State Travel**

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.

#### **2) Mileage**

When a privately owned vehicle is utilized on project-related business, a maximum of 34 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

#### **3) Meals and Incidentals**

##### **a) Breakfast \$6.00**

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

##### **b) Lunch \$10.00**

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

**NOTE: If you are traveling by plane during business hours, you cannot claim a meal if it is served on the plane.**

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total

Total is \$40.00 for a 24-hour period.

4) Lodging

Reimbursement is not authorized without a receipt. Statewide with a lodging receipt is the actual lodging expense up to \$84.00, plus applicable **taxes**, (except as noted below).

5) Special Lodging Rates

These rates allow actual lodging expense up to \$110 plus applicable taxes with receipt in Los Angeles and San Diego counties. Actual lodging of up to \$140 plus applicable taxes is allowed for Alameda, San Francisco, San Mateo and Santa Clara counties.

6) Other

Taxi, airport shuttle, etc., which exceeds \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

**6. Consultant Services**

Consultant services are provided on a contractual basis by individuals or organizations and are not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.

**a. Rates**

The maximum rate for independent contractors is \$450 (excluding travel and subsistence costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over \$450 per day requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for these independent contractors will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

**b. Expert Witness Fees**

Prosecution or criminal defense projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage and Family Therapist (MFT); Medical Doctor (MD)].
- Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
- Indicate why this cost cannot be paid with county funds. Attach a written justification to Form A303b.

**7. Facility Rental**

Up to \$18 per square foot annually (\$1.50 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

**a. Rental Space for Training and Counseling Rooms**

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the rental charged is based on actual costs and not reimbursed by any other source.

**8. Rented or Leased Equipment**

If equipment is to be rented or leased, an explanation and cost analysis will be required if the application is selected for funding. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it and must be approved by OES prior to the execution of any rental or lease agreement.

**9. Indirect Costs/Administrative Overhead**

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent of personnel salaries (excluding benefits and overtime) or five percent of total direct project costs (excluding equipment) may be budgeted by applicant for indirect costs.

**10. Audits**

An audit is required for all OES recipients expending \$25,000 or more of OES grant awards. Applicant may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or
- If the total amount of the grant is greater than \$150,000, the applicant may budget up to one percent of the total grant for financial audit costs.

**11. Equipment**

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers must be one line item, not three).

**a. Allowable Expenses**

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by OES is required.

All equipment purchased in whole or in part with state or federal grant funds is the property of the state or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

**b. Computers**

1) Nonprofit Organizations

Applicant from a nonprofit organization may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the application is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase.

2) Units of Government

Applicant from units of government may budget for computer equipment, software, and related costs. Justification will be required if the application is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification

Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost-effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the project will be sent instructions for preparing the justification.

**c. Automobiles**

Automobiles are not allowable budget items, unless permitted in the RFA Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OES during a site visit, monitoring visit and by the auditor during the required annual audit.

**12. Prohibited Expense Items**

The following is a list of prohibited items:

**a. Lobbying**

OES grant funds cannot be used for lobbying activities.

**b. Fundraising**

OES grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

**c. Real Property and Improvements**

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

**d. Interest**

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

**e. Food and Beverages**

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

**f. Weapons and Ammunition**

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFA instructions.

**g. Membership Dues**

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFA instructions.

**h. Professional License**

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

**i. Annual Professional Dues or Fees**

The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the RFA instructions.

**j. Charges, Fees and Penalties**

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

**k. Depreciation**

Depreciation charges are not allowable expenditures.